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Substitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets necessary)				COMPLETE IF KNOWN	
				Application Number	Unknown <u>10/076,600</u>
				Filing Date	Herewith
				First Named Inventor	Chi Wu
				Group Art Unit	Unknown <u>2874</u>
				Examiner Name	Unknown <u>Healy</u>
SHEET	1	OF	6	Docket Number	LIGHT1420-1

 J5828 U.S. PTO
 10/076600
 02/15/02

U.S. PATENT DOCUMENTS						CLASS	SUB-CL.
Examiner Initials*	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	
		Number	Kind Code ² (if known)				
BWH	1	4,618,210		Kondo	10-21-1986	385	14X
BWH	2	4,747,654		Yi-Yan	03-31-1988	385	37X
BWH	3	4,813,757		Sakano et al.	03-21-1989	385	14X
BWH	4	4,846,542		Okayama	07-11-1989	385	16X
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BWH	7	5,039,993		Dragone	08-13-1991	343	726
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BWH	14	5,841,931		Foresi et al.	11-24-1998	385	131
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BWH	16	6,108,478		Harpon et al.	08-22-2000	385	129
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		Office ³	Number ⁴	Kind Code ⁵ (if known)					
BWH	18	EPO	0647861A1		AT&T Corp.	12.04.1995	385	11X	
BWH	19	EPO	0985942A2		Lucent Technologies, Inc.	15.03.2000	385	24X	
BWH	20	Japan	2-179621		Ok Electric Ind. Co. Ltd.	12.7.1990	385	18X	
BWH	21	Japan	6-186598		Hitachi Ltd.	8.7.1994	385	18X	
BWH	22	Japan	63-197923		NEC Corp.	16.8.1988	385	18X	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS					T ⁶
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published			T ⁶
BWH	23	ABE, et al., <i>Optical Path Length Trimming Technique using Thin Film Heaters for Silica-Based Waveguides on Si</i> , Electronics Letters, September 12, 1996, Vol. 32-No. 19, pp. 1818-1820.			
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Examiner Signature	<u>B. Healy</u>	Date Considered	<u>6/17/04</u>
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				First Named Inventor	Chi Wu
				Group Art Unit	Unknown
				Examiner Name	Unknown
SHEET	2	OF	6	Docket Number	LIGHT420-1

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T ²	
BWH	26	AMANN, M.C. et al, Calculation Of The Effective Refractive-Index Step For The Metal-Cladded-Ridge-Waveguide Laser, Applied Optics, VOL 20, No.8, Apr 15 1981, pg 1483-1486		
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BWH	41	DERI, R.J., et al., Low-Loss Multiple Quantum Well GaInAs/InP Optical Waveguides; Feb 21, 1989		
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BWH	51	GOEL, K. et al Design Considerations for Low Switching Voltage Crossing Channel Switches; Journal of Lightwave Technology, VOL 6, No.6, June 1988; pg 881-886		

Examiner Signature	B. Healy	Date Considered	6/17/04
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				Application Number	Unknown 10/076,600
				Filing Date	Herewith
				First Named Inventor	Chi Wu
				Group Art Unit	Unknown 2874
				Examiner Name	Unknown Healy
SHEET	3	OF	6	Docket Number	LIGHT1420-1

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	TS	
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BWH	54	HSU, K.Y. et al., Photonics devices and Modules, www.cc.nctu.edu.tw/~crllee_mli/research_topic/photonics_devices_modules.htm, pp 1-3.		
BWH	55	HUANG, T.C. et al., Depletion Edge Translation Waveguide Crossing Optical Switch; IEEE Photonics Technology Letters; VOL 1, No.7, Jul 1989, pg 168-170		
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BWH	59	ITO, F. et al., Carrier-Injection-Type Optical Switch In GaAs With A 1.06-1.55 μ m Wavelength Range; Appl. Physics Letters, 54(2) Jan 9, 1989; pg 134-136		
BWH	60	JACKMAN, N. et al., Optical Cross Connects for Optical Networking; Bell Labs Technical Journal, Jan-Mar. 1999; pg 262-281		
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BWH	62	KAENKO, A. et al., Athermal Silica-based Arrayed-waveguide Grating (AWG) Multiplexers with New Low Loss Groove Design; TuO1-1, pg 204-206		
BWH	63	KASAHARA, R. et al., Low-Power Consumption Silica-Based 2x2 Thermo-optic Switch Using Trenched Silicon Substrate, IEEE Photonics Technology Letters, VOL 11, No. 9, Sep 1999, pg 1132-1134		
BWH	64	KHAN, M.N. et al., Fabrication-Tolerant, Low-Loss, and High-Speed Digital Optical Switches in InGaAsP/InP Quantum Wells; Proc 21 st Eur.Conf.on Opt.Comm.(ECOC '95-Brussels), pg 103-106		
BWH	65	KHAN, M.N. et al., High-Speed Operation of Quantum Well Electron Transfer Digital Optical Switches; pg 102-102c		
BWH	66	KIRIHARA, T. et al., Lossless And Low Crosstalk 4x4 Optical Switch Array; Electronics And Communications In Japan, Part 2, VOL 77, No.11, 1994, pg 73-81		
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BWH	68	KOKUBUN, Y. et al., Athermal Waveguides for Temperature-Independent Lightwave Devices, November 1993, 1297-1298, Vol. 5-NO. 11, IEEE Photonics Technology Letters.		
BWH	69	KOKUBUN, Y. et al., Temperature-Independent Narrowband Optical Filter at 1.3 μ m Wavelength by an Athermal Waveguide, 10 th October 1996, Vol. 32-No. 21, Electronics Letters		
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BWH	73	LAAKMAN, K. D. et al., Waveguides: Characteristic Modes Of Hollow Rectangular Dielectric Waveguides; Applied Optics, VOL 15, No. 5, May 1976; pg 1334-1340.		

Examiner Signature	B. Healy	Date Considered	6/17/04
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Substitute for form 1443A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets necessary)				COMPLETE IF KNOWN	
				Application Number	Unknown
				Filing Date	Herewith
				First Named Inventor	Chi Wu
				Group Art Unit	Unknown 2874
Examiner Name	Unknown Healy				
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
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BWH	75	LIU, Y.L. et al., <i>Silicon 1x2 Digital Optical Switch Using Plasma Dispersion</i> , Electronics Letters, VOL 30, No.2, Jan20, 1994; pg 130-131		
BWH	76	MAK, G. et al., <i>High-Speed Bulk InGaAsP-InP Electroabsorption Modulators with Bandwidth in Excess of 20 GHz</i> , IEEE Photonics Technology Letter, VOL 2, No.10, Oct 1990, pg 730-733		
BWH	77	MARCATILI, E., <i>Improved Coupled-Mode Equations for Dielectric Guides</i> , IEEE Journal of Quantum Electronics, VOL QE-22, No.6, June 1986; pg 988-993		
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BWH	81	MIRZA, A.R. et al., <i>Silicon Wafer Bonding For MEMS Manufacturing</i> , Solid State Technology, Aug 1999, pg 73-78		
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BWH	83	MÜLLER, G. et al., <i>First Low Loss InP/InGaAsP Optical Switch with Integrated Mode Transformers</i> , ThC12.10; Pg 37-40		
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BWH	85	NEGAMI, I. et al., <i>Guided-Wave Optical Wavelength Demultiplexer Using An Asymmetric Y Junction</i> , Appl. Phys. Lett. 54 (12), Mar 20, 1989; pg 1080-1082		
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BWH	87	NELSON, W.H. et al., <i>Wavelength-and Polarization-Independent Large Angle InP/InGaAsP Digital Optical Switches with Extinction Ratios Exceeding 20 dB</i> , IEEE Photonics Technology Letters, VOL 6, No.11, Nov. 1994; pg 1332-1334		
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BWH	90	OKAMOTO, K. et al., <i>Arrayed-Waveguide Grating Multiplexer With Flat Spectral Response</i> , Optics Letters, Jan 1 1995; VOL 20, No.1; Pg 43-45		
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BWH	93	OKAYAMA, H. et al., <i>Dynamic Wavelength Selective Add/Drop Node Comprising Tunable Gratings</i> , Electronics Letters Online, April 10, 1997, No. 19970607.		
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Examiner Signature	<i>R. Healy</i>	Date Considered	6/12/04
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				Group Art Unit	Unknown-2824
				Examiner Name	Unknown Healy
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BWT	97	RENAUD, M. et al., <i>Compact Digital Optical Switches for Low Insertion Loss Large Switch Arrays on InP</i> , Proc. 21 st Eur. Conf. on Opt. Comm. (ECOC '95-Brussels), pg 99-102	
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BWT	105	SMITH, S.D. et al., <i>CW Operation of Corner Cavity Semiconductor Lasers</i> , IEEE Photonics Technology Letters, VOL 5, No.8, Aug 1993; pg 876-879	
BWT	106	SNEH, A. et al., <i>Compact Low Crosstalk and Low Propagation Loss Quantum-Well Y-Branch Switches</i> , PDP 4-1 - 4-5 X	
BWT	107	SOOLE, J.B.D. et al., <i>Use of Multimode Interference Couplers to Broaden the Passband of Wavelength-Dispersive Integrated WDM Filters</i> , IEEE Photonics Technology Letters, VOL 8, No.10, Oct 1996; pg 1340-1342	
BWT	108	STOLL, L. et al., <i>1:8 Optical Matrix Switch on InP/InGaAsP with Integrated Mode Transformers</i> , Optical Switches and Modulators II, pg 531-534	
BWT	109	STOLL, L. et al., <i>Compact and Polarization Independent Optical Switch on InP/InGaAsP</i> , TuB7.2; pg 337-340	
BWT	110	STUTIUS, W. et al., <i>Silicon Nitride Films On Silicon For Optical Waveguides</i> , Applied Optics, VOL 16, No.12, Dec 1977, pg 303-307	
BWT	111	SUGIE, T. et al., <i>1.3-μm Laser Diodes with a Butt-jointed Selectively Grown Spot-Size Converter</i> , ThB2-6, IOOC95, pg 52-53	
BWT	112	TADA, K. et al., <i>Bipolar Transistor Carrier-Injected Optical Modulator/Switch: Proposal and Analysis</i> , IEEE Electron Device Letters, VOL EDL-7, No.11, Nov 1986, pg 605-606	
BWT	113	TAKADA, et al., <i>Optical Spectrum analyzer using Cascaded AWG's with Different Channel Spacings</i> , Photonics Technology Letters, July 1999, Vol. 11, No. 7, pp. 863-864.	
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BWT	115	TAKIGUCHI, K. et al., <i>Dispersion Compensation Using a Planar Lightwave Circuit Optical Equalizer</i> , Photonics Technology Letters, April 1994, Vol. 6, No. 4, pp. 561-564.	
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Examiner Signature	B. Healy	Date Considered	7/16/04	Examiner Signature	B. Healy
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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets necessary)				COMPLETE IF KNOWN	
				Application Number	Unknown
				Filing Date	Herewith
				First Named Inventor	Chi Wu
				Group Art Unit	Unknown 2874
				Examiner Name	Unknown Beely
SHEET	6	OF	6	Docket Number	LIGHT1420-1

[illegible]

Examiner Signature	<i>B. Healy</i>	Date Considered	<i>7/16/08</i>
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